

15992 U.S. PTO
121803

UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	46686.830001.US0
	First Inventor	George KAKATSAKIS
	Title	METHODS AND APPARATUSES FOR ALERT DRIVEN TRANSACTIONS
	Express Mail Label No.	EL379007160US

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning design patent application contents.</small>	ADDRESS TO: Commissioner for Patents Mail Stop Patent Application P.O. Box 1450 Alexandria, VA 22313
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<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original, and a duplicate for fee processing)</small></p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 19] <small>(preferred arrangement set forth below)</small> - Descriptive title of the invention - Cross Reference to the Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawings(s) (35 U.S.C. 113) [Total Sheets 4]</p> <p>5. Oath or Declaration [Total Pages 1] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small> i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</small></p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identify of above copies</p>
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ACCOMPANYING APPLICATION PARTS	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee)	<input type="checkbox"/> Power of Attorney
11. <input type="checkbox"/> English Translation Document (if applicable)	
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations
13. <input type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>	
15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign policy is claimed)</small>	
16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input type="checkbox"/> Other:	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:


☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: ____/____

Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS	
<input checked="" type="checkbox"/> Customer Number or Bar Code Label	
or <input type="checkbox"/> Correspondence address below	

Name	Brian Kinnear				
	Holland & Hart				
Address	555 17 th Street, Suite 3200				
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Country	USA	Telephone	303-295-8170	Fax	303-295-8261

Name (Print/Type)	Brian Kinnear	Registration No. (Attorney/Agent)	43,717
Signature		Date	December 18, 2003

This collection of information is required by 37 CFR 1.53 (b). The information is required to obtain or retain a benefit by the public worth is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA, 22313-1450. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing this form, call 1800-PTO-9199 and select option 2

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FEE TRANSMITTAL FOR FY 2004		Complete if Known	
<i>Effective 10/01/03. Patent fees are subject to annual revision.</i>		Application Number	unknown
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. 1.27		Filing Date	Herewith
		First Named Inventor	George Kakatsakis
		Examiner Name	Not yet assigned
		Group Art Unit	Not yet assigned
TOTAL AMOUNT OF PAYMENT	(\$428.00)	Attorney Docket No.	46686.830001.US0
METHOD OF PAYMENT		FEE CALCULATION (continued)	
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> None		3. ADDITIONAL FEES	
<input checked="" type="checkbox"/> Deposit Account		Large Entity Small Entity	
Deposit Account Number: 082623		Fee Code Fee (\$)	
Deposit Account Name:		Fee Description	
The Director is authorized to: (Check all that apply)		Fee Paid	
<input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments		1051 130 2051 65 Surcharge - late filing fee or oath	
<input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application		1052 50 2052 25 Surcharge - late provisional filing fee or cover sheet	
<input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified account		1053 130 1053 130 Non-English specification	
		1812 2,520 1812 2520 For filing a request for ex parte reexamination	
		1804 920* 1804 920 Requesting publication of SIR prior to Examiner action	
		1805 1,840* 1805 1840 Requesting publication of SIR after Examiner action	
		1251 110 2251 55 Extension for reply within first month	
		1252 420 2252 210 Extension for reply within second month	
		1253 950 2253 475 Extension for reply within third month	
		1254 1480 2254 740 Extension for reply within fourth month	
		1255 2010 2255 1005 Extension for reply within fifth month	
		1401 330 2401 165 Notice of Appeal	
		1402 330 2402 165 Filing a brief in support of an appeal	
		1403 290 2403 145 Request for oral hearing	
		1451 1,510 1451 1510 petition to institute a public use proceeding	
		1452 110 2452 55 Petition to revive - unavoidable	
		1453 1330 2453 655 Petition to revive - unintentional	
		1501 1330 2501 655 Utility issue fee (or reissue)	
		1502 480 2502 240 Design issue fee	
		1503 640 2503 320 Plant issue fee	
		1460 130 1460 130 Petitions to the Commissioner	
		1807 50 1807 50 Processing fee under 37 CFR 1.17(q)	
		1806 180 1806 180 Submission of Information disclosure Stmt	
		8021 40 8021 40 Recording each patent assignment per property (times number of properties)	
		1809 770 2809 385 Filing a submission after final rejection (37 CFR § 1.129(a))	
		1810 770 2810 385 For each additional invention to be examined (37 CFR § 1.129(b))	
		1801 770 2801 385 Request for Continued Examination (RCE)	
		1802 900 1802 900 Request for expedited examination of a design application	
		Other fee (specify) _____	
		*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$0)	
FEE CALCULATION			
1. BASIC FILING FEE			
Large Entity Fee Code Fee (\$)		Small Entity Fee Code Fee (\$)	
1001 770 2001 385 Utility filing fee		385.00	
1002 340 2002 175 Design filing fee			
1003 530 2003 265 Plant filing fee			
1004 770 2004 385 Reissue filing fee			
1005 160 2005 80 Provisional filing fee			
SUBTOTAL (1)		(\$385.00)	
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE			
Total Claims: 20 -20** = 0 X 0 = 0		Fee from below Fee Paid	
Independent Claims: 4 - 3** = 1 X 43 = 43.00			
Multiple Dependent		0 = 0	
Large Entity Fee Code Fee (\$)		Small Entity Fee Code Fee (\$)	
1202 18 2202 9 Claims in excess of 20			
1201 86 2201 43 Independent claims in excess of 3			
1203 290 2203 145 Multiple dependent claim, if not paid			
1204 86 2204 43 ** Reissue independent claims over original patent			
1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent			
SUBTOTAL (2)		(\$43.00)	
**or number previously paid, if greater; For Reissues, see above			
SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Brian Kinnear	Registration No. (Attorney/Agent)	43,717
Signature		Telephone	303-295-8170
		Date	December 18 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorize on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

KAKATSAKIS, et al.

Serial No.

Filed: HEREWITH

For: METHODS AND APPARATUSES FOR ALERT
DRIVEN TRANSACTIONS

Examiner: not yet assigned

Art Unit: not yet assigned

CERTIFICATE OF MAILING BY EXPRESS MAIL

Mail Stop PATENT APPLICATION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313

Sir:

The undersigned hereby certifies that the enclosed

1. Utility Patent Application Transmittal;
2. Specification, Claims and Abstract;
3. Fee Transmittal for FY 2004;
4. Certificate of Mailing by Express Mail; and
5. Return Card,


relating to the above application, were deposited as "Express Mail," Mailing Label No. EL379007160US with the United States Postal Service, addressed to Mail Stop PATENT APPLICATION Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313, on this December 18, 2003.

December 18, 2003

December 18, 2003



Mailer



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